

12-19-02

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Date of Deposit: December 17, 2002

Type of Document(s): Transmittal (*In Duplicate*);  
Amendment and Remarks;  
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Serial No.: 09/454,978

Date Filed: December 3, 1999

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I hereby certify that the documents identified above are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Catherine A. Johnson  
Catherine A. Johnson



Express Mail No. EV 032106382 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of : RAYNER, et al.  
Application No. : 09/454,978  
Filed : December 3, 1999  
For : COMPUTER SYSTEM FOR DATA MANAGEMENT  
AND METHOD FOR OPERATION OF THE SYSTEM  
Examiner : Akers, G.  
Art Unit : 3624

Assistant Commissioner for Patents  
Washington, DC 20231

TRANSMITTAL

Sir:

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GROUP 3600

Transmitted herewith are copies of the following document(s) for filing in the  
above-identified application:

Amendment and Remarks  
Check in the amount of \$120

Shown below are the fees for the presentation of the amended claims:

	Claims Remaining	Highest # Previously Paid For	Extra	Rate	Fee
TOTAL	67	65	2	\$18	\$ 36
Ind. Cls.	4	2	1	\$84	\$ 84
Multiple Dependent Claim Added.....					NO
TOTAL					\$ 120

The Commissioner is hereby authorized to charge any deficiency to Deposit  
Account Number 50-1458. A duplicate of this transmittal is attached for that purpose.

Respectfully submitted,

Date: 12/17/02  
KILPATRICK STOCKTON LLP  
607 14<sup>th</sup> Street, NW, Suite 900  
Washington, DC 20005  
(202) 508-5800

By: John M. Harrington  
John M. Harrington (Reg. No. 25,592)  
for George T. Marcou (Reg. No. 33,014)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re Application of:

RAYNER, Peter E., et al.

Application No.

09/454,978

Filed:

December 3, 1999

For:

**COMPUTER SYSTEM FOR DATA  
MANAGEMENT AND METHOD FOR  
OPERATION OF THE SYSTEM**

Examiner:

Akers, Geoffrey R.

Group Art Unit:

3624

Assistant Commissioner for Patents  
Washington, DC 20231**RECEIVED**

DEC 24 2002

**GROUP 3600****AMENDMENT AND REMARKS**

Sir:

Responsive to the Office Action mailed September 26, 2002, Applicants respectfully request reconsideration of the application in light of the following Amendment and Remarks.

*In the Claims:*


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Please add the following new claims 66 and 67:

66. (New) A method of operating a computer system for data management of a financial transaction, comprising:

receiving at a terminal a request for a user for a proposed financial transaction;

generating a rate quote consisting of one of an executable rate quote and a category trader's rate quote for the proposed financial transaction, wherein the executable rate quote is generated if a predefined condition for generating the executable rate quote is identified, wherein the predefined condition for generating the executable rate quote exists if a predefined cause for rejecting the request for the proposed financial transaction is not identified by at least one of a transaction server coupled to the terminal and a rate server coupled to the transaction server, and upon failure to identify the predefined condition for generating the executable rate quote,